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PTO/SB/21 (01-03)

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2162

TRANSMITTAL
FORM

(to be used for all correspondence after initial filing)

Application Number	10/092,005
Filing Date	03/06/2002
First Named Inventor	Getty
Art Unit	2162
Examiner Name	Not Known
Total Number of Pages in This Submission	314963

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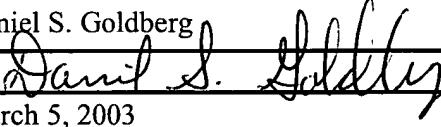
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ENCLOSURES (Check all that apply)

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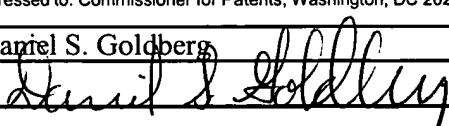
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual	Daniel S. Goldberg		
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Date	March 5, 2003		

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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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Daniel J. Getty

AGENT/ATTORNEY FOR APPLICANT

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DATE

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Attorney Docket No. 314963

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Getty

Serial No.: 10/092,005

Group Art Unit No.: 2162

Filed: 03/06/2002

Examiner: Not Known

For: SYSTEM AND METHOD FOR PROVIDING LIQUIDITY

Commissioner of Patents
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR 1.56**

Applicants herein make available to the Patent and Trademark Office copies of the references, listed on the included Form PTO-1449.

The Examiner is requested to consider carefully the complete text of these references in connection with the examination of this application. It is believed that the Examiner will concur with Applicant's belief that the foregoing references do not adversely affect the patentability of the subject matter presently claimed, taken alone or in combination.

It is requested that the listed references be included in the "References Cited" portion of any patent issuing from this application.

(1) This Information Disclosure Statement is being filed:

- within three months of the filing date of the patent application.
- within three months of the date of entry into the national stage as set forth in 37 CFR 1.491 of the international application.
- before the mailing date of a first Office Action on the merits.
- after the mailing date of the first Office Action on the merits, but before the mailing date of

a Final Action under 37 CFR 1.113,

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a Notice of Allowance under 37 CFR 1.311, or
an action that otherwise closes prosecution,
and is accompanied by either:

- the Statement under 37 CFR 1.97(e) (see "Statement" below), **or**
- the fee under 37 CFR 1.17(p).

after the mailing date of
a Final Action under 37 CFR 1.113,
a Notice of Allowance under 37 CFR 1.311, or
an action that otherwise closes prosecution,,
and is accompanied by both:
the Statement under 37 CFR 1.97(e) (see "Statement" below), **and**
the fee under 37 CFR 1.17(p).

(2) Statement

- The **undersigned attorney** hereby states that each item information contained in the Supplemental Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Supplemental Information Disclosure Statement. *(If this box is checked, do not check any further Statement boxes.)*

or

- The **person signing immediately below** hereby states that no item of information contained in the Supplemental Information Disclosure was cited in any communication from any foreign patent office in any counterpart foreign patent application or, to the knowledge of the person signing after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Supplemental Information Disclosure Statement.

The person making the statement is:

- the inventor(s) who sign(s) below:

Signature of the Inventor(s)

Typed or Printed Name of the Inventor(s)

or

- a person who is substantively involved in the preparation or prosecution of the application, and who is associated with the

inventor(s), or with the assignee, or with anyone to whom there is an obligation to assign the application (37 CFR 1.565(c)) and who signs below:

Signature of the Person(s)

Typed or Printed Name of the Person

Address of Person Signing

or

- the undersigned attorney who signs on the basis of the information:
 - supplied by the inventor(s).
 - supplied by an individual designated in 37 CFR 1.56(c).
 - in the attorney's file.

Signature of the Attorney (4) Fees

- No Fee** is owed by the applicants.
- The IDS Fee of \$180.00** under 37 CFR 1.17(p) is enclosed herewith.

(5) Method of Payment of Fees

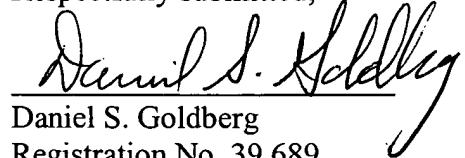
- Attached is a check in the amount of \$_____.
- Applicants hereby authorize the Commissioner to charge the \$180.00 IDS Fee to Deposit Account No. 04-0480.

(6) **Authorization to Charge Additional Fees**

Applicants hereby authorize the Commissioner to charge any additional fees deemed required for consideration of this Paper to Deposit Account No. 04-0480.

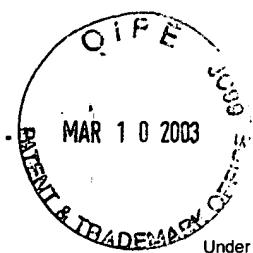
A prompt and favorable response is earnestly solicited.

Respectfully submitted,



Daniel S. Goldberg
Registration No. 39,689
Attorney for Applicant

DECHERT PRICE & RHOADS
Princeton Pike Corporate Center
PO Box 5218
Princeton, New Jersey 08543-5218
Fax: (609) 620-3259
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Substitute for form 1449/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	10/092,005
				Filing Date	03/06/2002
				First Named Inventor	Getty
				Art Unit	2162
				Examiner Name	Not Known
Sheet 1		of 1	Attorney Docket Number 314963		

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U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
A1	US- 5,101,353		03-31-1992	Lupien, et al.	
A2	US- 6,134,535		10-17-2000	Belzberg	
A3	US- 6,289,321		09-11-2001	Suganuma	
A4	US- 6,317,728 B1		11-13-2001	Kane	
A5	US- 6,338,047 B1		01-08-2002	Wallman	
A6	US- 2001/0042033 A1		11-15-2001	Sposito	
A7	US- 2001/0042037 A1		11-15-2001	Kam et al.	
A8	US- 2001/0049650 A1		12-06-2001	Moshal et al.	
	US-				

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

Examiner Signature	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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